

DLRS - Strategic Map SFY 2014-15

Unit: Children's Licensing & Investigation Services

STRATEGIC INITIATIVE	Objectives	Action Steps January - March 2014	Action Steps April - June 2014	Summary Status June 15, 2014	Action Steps July - September 2014	Action Steps October - December 2014	Summary Status January 15, 2015	Action Steps January - March 2015	Action Steps April - June 2015
RESOURCE UTILIZATION 1. Ensure efficient use of resources to achieve Division objectives.	Implement / amend performance metric reporting.	Determine performance metrics for all children's licensing programs	Enhance existing reports & create new to ensure all metrics are captured.	Metrics identified for each program. Ongoing analysis of Macwis and system users to identify areas in which there are variations in data entry that impact validity of data. Children's residential identified need to create a central office process for tracking data not stored in Macwis mirroring child care.	Collaborate with CHPII to identify trends/patterns in data	Develop comprehensive monthly report for senior management and unit staff. Data will be utilized as element of staff's annual job evaluation.	Macwis Data Specialist extracting data from Macwis for monthly report. Office Associate II (OAIL) tracking data not found in Macwis (Licensing Actions, Statement of Deficiencies, Plan of Correction). Comprehensive dash board report stalled slightly due to vacant Comprehensive Health Planner II position. Data used for supervision & evaluations. Assessing attainability of expectations based on overall staff performance.	Assess data to ensure all expectations are reasonable and attainable by staff	Modify expectations if needed
	Develop electronic survey process	Identify cost related to issuing licensing staff tablets	Meet with OIT to discuss timeframe & cost related to creation of electronic survey.	In discussion phase only. No progress with the development of an electronic survey tool. Will follow implementation of Differential Monitoring.	Create workgroup to review current survey and identify needed changes.	Draft new survey tool(s), incorporate feedback from all staff, share with senior management	Staff input received regarding software goals. Met w/ vendor Technology and Consulting Company (TCC) to compare cost, efficiency, timeline of purchasing pre-developed software versus development of new through (BPM). Early stages of identifying project scope & requirements with Project Manager.	Purchase tablets. Collaborate with OIT to put survey tool(s) in electronic format	Train staff with new technology and survey process
	Implement licensing action advisory panel	Identify necessary participants for advisory panel	Develop policy and procedural guidelines for advisory panel. Set day and time established for panel participants.	Compliance Advisory Panel (CAP) established, meeting weekly. Need policy and standard operating procedures related to CAP.	Create written feedback form for each review and begin regular meetings	Assess process of advisory panel, strengths and challenges and provide feedback to senior management	Compliance Advisory Panel (CAP) meets weekly. Standardized reporting tool implemented, weekly status updates tracked by OAIL. Overall process has significantly mitigated risk to children and to the Division. Need Policy and Standard Operating Procedures related to CAP.	Make changes to process if necessary and implement changes	Provide summary of first year to include all cases reviewed and outcome/decisions
	Develop risk assessment scale to augment survey process	Identify work group participants	Contact other States who use a risk assessment tool to help guide the development of Maine's tool.	Researching what other states are using for a risk assessment tool and will embed in the Differential monitoring survey tool.	Identify the greatest risk factors, and common deficiencies for Maine child care providers.	Rate child care licensing deficiencies and risk factors by severity to guide survey frequency and intervention	Tool will be incorporated into DM process. First pass at weighting Rules is underway. Working w/OCQI to ensure validity in weighting/scoring. Identified staff to participate in weighting using OCQI tool/Delphi process.	Create risk assessment tool and pilot with selected staff and random sample child care providers	Assess data from pilot, make adjustments if necessary, fully implement with all child care providers
	Develop a correspondence management process (signatures)	Identify documents/correspondence in need of supervisory review and signature	Review current form letters and correspondence, make changes as necessary	Continue process of editing existing and develop new standardized correspondence for the unit. SODs and Licensing Actions processed and tracked through central office management.	Development of policy for external correspondence for licensing and OOH	Monitor to ensure compliance	Child care standard correspondence and legal documents all updated. Under review at the AG's office. Next phase of review/updates for Children's Residential and Out of Home Investigation (OOH). Sending OOH open & close letters to parents of children in child care under OOH investigation.		
ACCOUNTABILITY 2. Develop formal infrastructure to (1) measure and mitigate risk; (2) measure and certify compliance (regulatory, financial, contractual); and (3) provide effective and efficient management decision support.	Develop Standard Operating Procedures and Work Flows	Identify work group participants for each team	Draft SOP and work flow in work groups for each team	Draft policy and standard operating procedures in early development.	Present drafts to larger unit for feedback/contributions	Implement SOP and work flow	Necessary Policies & SOPs identified, many in draft form/early stages of development. Objective will be a significant focus for the Quality and Compliance Officer over the next two quarters.	Assess through QA and supervision adherence to SOP/work flow procedures.	Assess SOP and work flow to ensure most effective and efficient for unit.
	Documented enforcement strategies, sanctions, fines	Create excel spread sheet to document all enforcement	Identify who will update document and who will be responsible for distribution	OAILs for Children's Licensing are tracking enforcement for child care. Need to develop system for children's residential.	Develop tool with Sonya WB to graph by worker enforcement actions.	Begin sharing data with staff on a quarterly basis. Identify the outliers (too much/little)	OAIL tracking enforcement & licensing actions for child care and children's residential. Reports shared w/staff monthly. Outliers within team identified, being addressed in performance evaluations and supervision. Strategy to develop a peer audit process to assess inter rater reliability and improve consistency amongst staff.	Supervisors and QA review outliers to identify if performance issue or due to compliant caseload	Increase frequency of supervision when performance issue. Identify barriers w/ staff, create work plan, closely monitor
	Review best practice standards from various sources to increase rankings	Identify the ranking sources and standards. Review and assess where Maine currently falls	Identify with senior management the standards that are most critical to meet in the first year with increased work force	Continue to identify national standards striving to achieve. Have decreased caseloads, increased frequency visits, 15 of 16 new CCW's w/ Bachelor level Ed. or higher. 1 employee currently completing BA.	Develop plans to meet standards, share with staff, begin implementation immediately	Assess progress and assess the need for changes to ensure success	Ongoing assessment of Maine's alignment with national standards. Planning strategies to ensure Maine meets new federal requirements resulting from 11/2014 Reauthorization Act of CCDBG.	Continued monitoring and begin annual report to provide feedback to senior management	Complete annual report for children's licensing to include all programs
	Job function analysis for manager/compliance QA training / supervisors	Review current job descriptions/responsibilities identified	Senior management determine division of responsibilities, write SSPSII (supervisor)job descriptions	Division of responsibilities identified for early stages of employment for 2 new SSPSII Supervisors. Critical position (Compliance Officer) currently vacant and covered by Program Manager.	Develop clear & measurable performance expectations for Manager, Supervisors, Compliance Officer	Establish weekly supervision scheduled with Supervisors and Compliance Officer	Quality & Compliance Officer Vacancy filled, leaving Supervisor vacancy for the North/East CC Licensing Team. Refinement of job functions and responsibilities to be adjusted/finalized once management team is fully staffed.	Assess if the division of responsibilities is most effective and efficient. Make changes as necessary.	

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WORK FORCE DEVELOPMENT 3. Develop a work force to ensure that DLRS maintains a qualified and sincerely engaged team that is mission focused.	Recruitment and onboard of new positions	Work in collaboration with HR to secure approval and post new positions	Complete interview process, hire top candidates, complete staff orientation training & field shadowing	Completed hiring and formal 2 week training/orientation of CCWs. In process of job shadowing and beginning field work as supervisors determine readiness.	Supervisors establish set supervision at least monthly w/ staff. Complete 3 month evals. JW meet regularly with HR regarding performance of new employees	Complete 6 month evals	6 month performance evaluations for all new employees (starting May 2014) completed. Individual development plans identified and in progress. Supervisors meeting with CCWs at least monthly for individual supervision and group supervision/meetings twice monthly.	Continue to monitor individual strength & challenges through supervision and QA	Annual performance evaluations due for all newly on boarded employees
	Unit meetings and training schedules	Continue monthly unit meeting w/ entire unit and monthly case review with OOH	Design and deliver a two week training orientation for child care licensing. All staff participate (est. start May 12)	Successful training/orientation completed with full participation from both new and experienced staff. Full unit meetings scheduled monthly beginning 7/31. Individual team meeting monthly w/ direct supervisor.	Identify individual training needs for continued professional development, schedule training.	Supervisors research training opportunities for entire children's team	Ongoing monthly unit meetings with entire team as well as, unit specific monthly meetings. Training needs identified and prioritized for the next two quarters.	Develop an annual training plan for staff development opportunities for the coming year	
	Training on consistent MACWIS documentation	JW review current documentation expectations to ensure all areas are covered.	Extensive Macwis training included in new staff orientation training.	New staff received 6 hours of Macwis training in a large group setting with OCFS Macwis training specialist. Providing one on one continued training with DLRS experienced Macwis user.	Supervisors review all workers by random sample from caseload to ensure timely and quality doc. In Macwis	Identify individual training needs to enhance Macwis skills and proficiency	Macwis training ongoing as needed. Plan for Project Specialist to begin random Macwis audits to ensure staff are following documentation expectations for quality, thoroughness, accuracy, and timely reflection of field work.		
	SETU training on documentation	Schedule meeting with Kate Carnes, Director of SETU to identify training needs and plan	Work collaboratively with Kate Carnes to develop new staff orientation and schedule trainers	Documentation training completed during training/orientation. Further training needed specific to Principals of Documentation.	Supervisors identify staff in need of additional writing skills training, schedule training	Supervisors continue to work closely with identified staff to improve overall quality	Initial documentation and writing skills training completed. All staff to receive additional training specific to Principals of Documentation.		
PROVIDER RELATIONS 4. Improve communication and relationships with providers in an effort to enhance regulatory compliance and quality while decreasing the need for enforcement action.	Develop publically facing web portal for licensing actions	Identify funding source	Meet with OIT to discuss timeframe & cost related to creation	In process of writing Business Plan. Identified Child Care Choices web site (UMO contract) as location.	Establish work group with DLRS and OIT, begin meeting	Work group in plan and development stages of designing portal	1/5/15 successfully launched public web portal, DLRS child care licensing details available on Child Care Choices web site. Ongoing task to review new documents, redact confidential/non- public information, scan to Fortis, and index for public view.	Continued development, confirm funding source, OIT launch	Monitor and assess usability of web-portal
	PSA / Amnesty for unlicensed practice	Follow up with DHHS Director of Communications and schedule another meeting	Meet with Director of Communications to create plan to proceed with PSA	Had initial meeting with DHHS spokes person around Public Service Announcement. Need to schedule a follow up meeting to determine next steps.	Determine media source, TV/radio, seek message approval by Communications JM	Record/create PSA and seek approval from Director of Communications	Two phase campaign outlined in draft form. Radio and television broadcast under exploration. Need to ensure unintended consequences are fully assessed prior to launch of campaign.	Develop plan w/ supervisors to effectively respond to unlicensed providers who respond in a timely fashion. PSA live	Licensing and OAIL respond to unlicensed providers seeking licensure.
	Children's Licensing Newsletter	Design logo and format for Community Programs -	Present to all staff and elicit ideas for articles, etc..	Community Programs Newsletter in process. Changes within child care licensing to be focus of first.	Draft article introducing new staff, geographic coverage areas, and new initiatives	Continue to provide stories/articles/suggestions to Heather Joslyn for upcoming letters	Child Care newsletter to be incorporated as article featured in the first edition of Community Programs newsletter.		
	Develop disaster preparedness technical assistance	Review National standards for disaster preparedness in child care settings	Assistant Director member of Maine Disaster Mental Health Advisory Committee will raise issue of enhancing child care providers preparedness	Have identified next steps for inclusion of national disaster preparedness in survey process. Have discussed next steps with national partners.	Train selected licensing staff to specialize in providing technical assistance to providers	All staff implement survey tool, assist providers in ensuring plans are well thought out and safety standards are met	Have identified next steps for inclusion of national disaster preparedness inclusion in survey process. Have discussed next steps with national partners.	Refer providers to specialized staff when needed.	Work with Sonya WB to pull data to verify Maine providers are meeting National recommendations
	Children's Licensing Forum	Identify work group to develop plan/agenda for annual forums (southern and northern Maine)	Contact providers to seek input regarding their identified needs	Determined need for more than 2 locations for the Child Care forums, will plan evening events which will allow for greater participation. Seeking provider input.	Identify dates of forums and secure location to hold event	Create agenda and invite presenters	Child Care licensing forums will be held twice annually in multiple locations Statewide. Fall 2014 forums held in 11 locations with 533 providers in attendance.	Disseminate invitations to providers and other child care stakeholders	Forum, provide feedback/evaluation form for participants, identify areas to improve upon in future forums
	Pamphlets for parents and providers re licensing actions	Identify information in need of improved communication with parents and child care providers	Consult with child care licensing in other states to assist in development	Child Care Management team has identified the specific information to be provided. Draft of parent and provider handout currently being drafted.	Manager and supervisors draft pamphlets and seek input from staff	Manager and Supervisors modify as necessary and seek input from senior management	Pamphlets for providers and parents in final stages of review.	Final review and printing of pamphlets, begin dissemination	QA randomly sample providers and parents regarding usefulness of material, seek feedback
	Development of a differential monitoring program for licensing visits	Identify alternative methods to determine frequency of child care inspections	Research Differential monitoring used by child care licensing in other States	Looking specifically at two State models. Identified a system for ranking deficiencies in current rule. In process of ranking 1, 2, 3 in severity. In discussion phase of inspection sheet revision and creation of abbreviated survey tool.	deficiencies identified during the Federal OIG audit will focus inspections to improve overall health, safety, compliance in child care settings	Identify 3-4 areas for heightened attention during all surveys based on identified trends in deficiencies	Received technical assistance from the National Center on Child Care Quality Improvement, have consulted w/ states using DM in Child Care Licensing. A work group is currently piloting an abbreviated inspection tool that is inclusive of Dr. Richard Fiene's 13 key indicators. Working w/ OCQI planning a method for increased validity around weighting Rules. Modifying plan to align with Child Care Rule revisions.		
REGULATIONS / STATUTES 5. Develop and implement Regulatory and Legislative Agendas that support the Division's mission.	Children's Licensing Rules	Management and staff continue to place items in parking lot for Catherine Valcourt's review	Determine projected date for revisions to Child Care Licensing Rules	Date for Child Care Rules not yet identified, continuing to place suggestions in "parking lot".	Identify work group and when appropriate begin entering suggested rule revisions into Share Point		Internal work group established several months ago, currently meeting biweekly. Plan to create core standards, currently reviewing and consolidating definitions from 3 Licensing Rules. Group members using Share Point and working closely with DLRS legal team.		
	OOH Rules	Assess need for OOH rules	Advocate for the development of OOH rules separate from statute that are oriented to OCFS/Child Welfare	Have met with AG's office and Legal Council at Commissioner's Office regarding Out of Home Rules. Researching other States and will begin drafting ideas.			Investigation staff continue to research other states that have similar models. Draft legislation for Out of Home Investigation Team in process.		